

How to Block PHI in your Documents



NCQA Recognition Programs



IMPORTANT: Remove Protected Health Information (PHI) from Documents



What is PHI?

- **PHI = Protected Health Information (defined by the Health Insurance Portability and Accountability Act (HIPAA))**
- **ANY information about health status, provision of health care, or payment for health care that can be linked to a specific individual**
- **Includes any part of a patient's medical record or payment history**
- **Common PHI identifiers include:**
 - Name
 - Social security number
 - Address
 - Birth date

Eliminate PHI from Documentation

- NCQA does not want/need to see PHI to evaluate your documentation
- Eliminate ALL PHI prior to uploading documents to your survey tool
- **DO NOT SUBMIT**
 - *patient names*
 - *social security numbers*
 - *dates of birth*
 - *street addresses*
 - *email addresses*
 - *telephone numbers*
- *Only submit de-identified patient data and examples*
- For more information please see the definition of PHI and de-identify in the Glossary of your Survey Tool

What is OK

- **Blocking out PHI does not mean to block out everything**
- **We need to be able to see the information that supports your responses**
- **For Example:**
 - Column Headers
 - Text Box Descriptions
 - Percentages
 - Type of Report
- **For elements or factors that request an aspect of PHI, such as a date of service**
 - include only the minimum information necessary
 - do not include additional identifiers, such as a member's chart or account number
- **Practices may provide Web links to data or Web sites**

Steps to Eliminating PHI

Here are some Key Steps to keep in mind when looking for and eliminating PHI:

- **What information makes the patient identifiable?**
 - Patient name, address, SSN, DOB
- **What information do I need to show to meet the intent of the element?**
- **What type of document is it?**
 - Report from an EHR, Excel, Word, Hand Written, PDF

Blocking PHI in Screen Shots

- **Create screen shots from a practice's computer**
- **Cut and paste screen shots into a word document**
- **De-identify patient data and examples using text boxes or shapes to black out PHI**
- **Save document with screen shots as a PDF document so that it cannot be altered**
- **Upload to document library**

Blocking PHI in Screen Shots

Here are the Steps:

1. Capture your computer screen/window

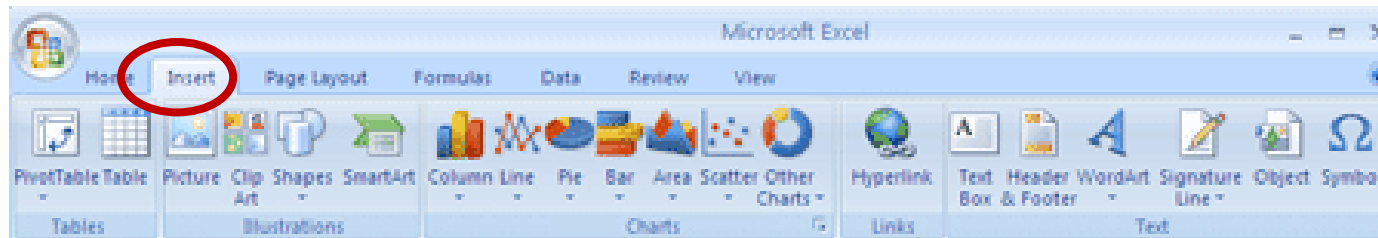
- [Online Tutorial](#)
- Steps from Word/Excel Document (only in Windows XP, Vista, 7, 8)
 - click “Insert” tab
 - select “Screenshot” icon
 - select screen to insert
- Links on the web on how to take a screen shot with keyboard
 - [All Devices](#) (click on tabs at the top) – works in word/ppt/paint

2. Paste appropriate screen shots in word documents

- Separate your files based on which screens are for which elements
- However consolidate as much as possible

Blocking PHI in Screen Shots

3. In word click on “Insert” tab
4. Select a shape to cover PHI such as a square or a rectangle



5. Draw shape over PHI material
 - Might need a couple separate shapes to cover information but to leaving information exposed needed to meet element

Recently Used Shapes

Lines

Rectangles

Basic Shapes

Block Arrows

Equation Shapes

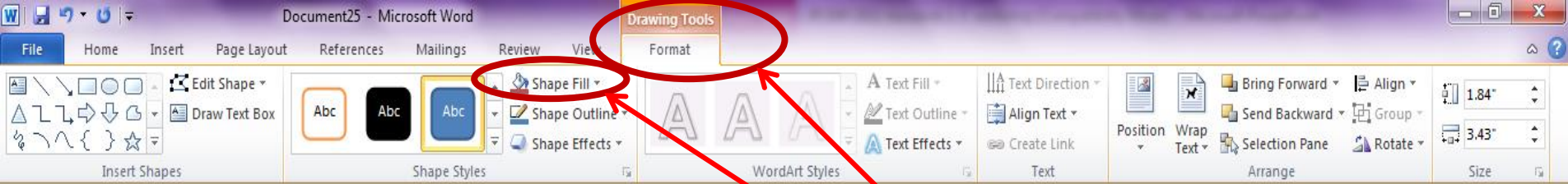
Flowchart

Stars and Banners

Callouts

[New Drawing Canvas](#)





Use the Format tab and Shape Fill button to make sure your shape is filled to blackout the information

Search & Reporting

Search By: Medication

4166

Toprol XL

Search

Searched by: Medication

ID	Age	Last Name	First Name	Phone	Email	Medication
2537	75					Toprol XL
2763	53					Toprol XL 25mg
2558	48					CPROLOL XL EXTENDED RELEASE TABLETS 200 MG
1522	82					CPROLOL XL TABLETS 100 MG
2046	49					CPROLOL XL TABLETS 100 MG
2787	50					CPROLOL XL TABLETS 100 MG
2730	37					CPROLOL XL TABLETS 100 MG
2669	63					CPROLOL XL TABLETS 100 MG
3029	66					CPROLOL XL TABLETS 100 MG
2647	63					CPROLOL XL TABLETS 100 MG
2630	59					CPROLOL XL TABLETS 100 MG
1485	46					CPROLOL XL TABLETS 100 MG
1283	53					CPROLOL XL TABLETS 100 MG
2559	48					CPROLOL XL TABLETS 100 MG
1590	54					CPROLOL XL TABLETS 200MG
1757	71					CPROLOL XL TABLETS 200MG
2670	40					CPROLOL XL TABLETS 200MG
2612	56					CPROLOL XL TABLETS 200MG
2097	61					CPROLOL XL TABLETS 25 MG
1784	51					CPROLOL XL TABLETS 25 MG

Total Patients: 37

Print List Email All [Excel] Export to Excel

Report showing all patients on a particular medication (Toprol XL)



Block PHI Information

This information should be blocked

ID	Age	Last Name, First Name	Phone	Email
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Medication

- Toprol XL
- Toprol XL 25mg
- TOPROL XL EXTENDED RELEASE TABLETS 200 MG
- TOPROL XL TABLETS 100 MG
- TOPROL XL TABLETS 100 MG
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- TOPROL XL TABLETS 200 MG
- TOPROL XL TABLETS 200 MG
- TOPROL XL TABLETS 25 MG
- TOPROL XL TABLETS 25 MG

Print List | Email All (bcc) | Export to Excel

Report showing all patients on a particular medication (Toprol XL)

Blocking PHI in EXCEL

- **Insert a shape over PHI**
 - Like in Word, under “Insert” tab there are several shapes to choose from and you can change sizes
- **Hide Cells, Columns & Lock Worksheet**
 - Select columns to hide then right click and select hide
 - Under “Review” tab you can “Protect Worksheet” or “Protect Workbook” with a password so that any information is password protected

File Home Insert Page Layout Formulas Data Review View

ABC Spelling Research Thesaurus Translate Language

New Comment Delete Previous Next

Show/Hide Comments Show All Comments Show Ink

Protect Sheet Protect Workbook Share Workbook

Protect and Share Workbook Allow Users to Edit Ranges Track Changes

	A	B	C	D	E	F	G	H	I
1	Patient's Name	Date of Birth	Referral	Appointment Date	Date Received				
2	xxxx	1/1/1111	Mammogram-screening.	4/16/2012	attempts to call				
3	xxxx	1/1/1112	Mammogram-diagnostic	4/17/2012	4/17/2012				
4	xxxx	1/1/1113	re at 11:00 am study	4/16/2012	1 cancel 2 R/S				
5	xxxx	1/1/1114	per quad	4/11/2012	4/20/2012				
6	xxxx	1/1/1115	per quad HVHS chippew	4/10/2012	4/20/2012				
7	xxxx	1/1/1116		4/17/2012	4/17/2012				
8	xxxx	1/1/1117		4/16/2012	4/9/2012				
9	xxxx	1/1/1118		4/10/2012	4/10/2012				
10	xxxx	1/1/1119		4/11/2012	4/13/2012				
11	xxxx	1/1/1120			5/18/2012				
12	xxxx	1/1/1121		4/16/2012	4/24/2012				
13	xxxx	1/1/1122	Rheumatology at 11:00am	5-8-2012	5/29/2012	attend no report			
14	xxxx	1/1/1123	MRI lumbar w/out contrast	schedule pt		5/11/2012			

Calibri 14

B I [text color] [background color] [font color] [font size]

- Cut
- Copy
- Paste Options:
 - Paste
 - Paste Special...
- Insert
- Delete
- Clear Contents
- Format Cells...
- Column Width...
- Hide**
- Unhide

Hide/block information like DOB or Patient's name

Ready Sheet1 Sheet2 Sheet3

Average: 27269.9037 Count: 298 Sum: 3681437 100%

Windows taskbar with icons for Start, File Explorer, Chrome, Mail, Photos, Word, and Excel.

System tray: 12:41 PM 10/3/2013

Just a Note

- **NCQA offers the following document preparation tips to practices applying for either PCMH or PCSP Recognition.**
- **These suggestions are NOT exhaustive nor are they prescriptive of how your practice documents that it meets the standards.**
- **Instead these tips are guidelines to assist practices in efficiently preparing documents that effectively illustrate the practices' operations and care management.**
- **Refer to [Documentation Tips](#) on our Website**